

A	P
-	

PATENT

D-176-1

Commissi ner of Patents and Trademarks Washington, D.C. 20231

NEW APPLICATION TRANSMITTAL

Docket No.

Transmitted herewith for filing is the patent application of

Inventor(s):

Grant M. Ehrlich and Frank J. Puglia

WARNING: Patent must be applied for in the name(s) of all of the actual inventor(s). 37 CFR 1.41(a) and

1.53(b).

For (title): POLYMERIC BINDER FOR ADHERENT COATINGS

1. Type of A	Application
This new ap	pplication is for a(n) (check one applicable item below):
☐ Ori	iginal ;
☐ De	sign
☐ Pla	int
L	No not use this transmittal for a completion in the U.S. of an International Application under 35 I.S.C. 371(c)(4) unless the International Application is being filed as a divisional, continuation o ontinuation-in-part application.
NOTE: If one TION	of the following 3 items apply then complete and attach ADDED PAGES FOR NEW APPLICA TRANSMITTAL WHERE BENEFIT OF A PRIOR U.S. APPLICATION CLAIMED.
X Div	visional
□ Co	ontinuation
□ Co	entinuation-in-part (CIP)

CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service on this date Februar as "Express Mail Post Office to Addressee" Mailing Label Number to the: Commissioner of Patents and Trademarks, Washington, D.C. 20231. Doherty John R.

(Signature of person mailing paper)

NOTE: Each paper or fee referred to as enclosed herein has the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 CFR 1.10(b).

(Application Transmittal [4-1]—page 1 of 7)



2. Benefit f Prior U.S. Application(s) (35 USC 120)
NOTE: If the new application being transmitted is a divisional, continuation or a continuation-in-part of a parent case, or where the parent case is an International Application which designated the U.S., then check the following item and complete and attach ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.
The new application being transmitted claims the benefit of prior U.S. application(s) and enclosed are ADDED PAGES FOR NEW APPLICATION TRANSMIT TAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.
Papers Enclosed Which Are Required For Filing Date Under 37 CFR 1.53(b) (Regular) or 37 CFR 1.153 (Design) Application
14_ Pages of specification
5_ Pages of claims
1_ Pages of Abstract
Sheets of drawing
formal
informal
WARNING: DO NOT submit original drawings. A high quality copy of the drawings should be supplied when filing a patent application. The drawings that are submitted to the Office must be on strong, white smooth, and non-shiny paper and meet the standards according to § 1.84. If corrections to the drawings are necessary, they should be made to the original drawing and a high-quality copy of the corrected original drawing then submitted to the Office. Only one copy is required or desired. Comments on proposed new 37 CFR 1.84. Notice of March 9, 1988 (1990 O.G. 57-62).
NOTE: "Identifying indicia such as the serial number, group and unit, title of the invention, attorney's docke number, inventor's name, number of sheets, etc., not to exceed 2¾ inches (7.0 cm.) in width may be placed in a centered location between the side edges within three fourths inch (19.1 mm.) of the top edge. Either this marking technique on the front of the drawing or the placement, although not preferred, of this information and the title of the invention on the back of the drawings is acceptable." Proposed 37 CFR 1.84(1). Notice of March 9, 1988 (1090 O.G. 57-62).
I. Additional papers enclosed
☑ Preliminary Amendment ☐ Preliminary Amendment ☐ Preliminary Amendment ☐ Preliminary Amendment ☐ Preliminary Amendment ☐ Prelimi
☐ Information Disclosure Statement
Form PTO-1449
Citations
Declaration of Biological Deposit

Authorization of Attorney(s) to Accept and Follow Instructions from Representa-

tive

Other

Special Comments

_	
Declaration of ath	
Enclosed (Copy of Oath in parent application executed by (check all applicable boxes) Serial No. 09/231,275, file	đ
inventor(s). on January 15, 1999)	
legal representative of inv ntor(s). 37 CFR 1.42 or 1.43	
joint inventor or person showing a proprietary interest on behalf of inventor who refused to sign or cannot be reached.	
this is the petition required by 37 CFR 1.47 and the statement required by 37 CFR 1.47 is also attached. See item 13 below for fee.	
Not Enclosed.	
WARNING: Where the filing is a completion in the U.S. of an International Application but where a declaration is not available or where the completion of the U.S. application contains subject matter in addition to the International Application the application may be treated as a continuation or continuation-inpart, as the case may be, utilizing ADDED PAGE FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION CLAIMED.	
Application is made by a person authorized under 37 CFR 1.41(c) on behalf of all the above named inventor(s). The declaration or oath, along with the surcharge required by 37 CFR 1.16(e) can be filed subsequently.	
Note: It is important that all the correct inventor(s) are named for filing under 37 CFR 1.41(c) and 1.53(b).	
Showing that the filing is authorized. (Not required unless called into question. 37 CFR 1.41(d).	
6. Inventorship Statement	
WARNING: If the named inventors are each not the inventors of all the claims an explanation, including the ownership of the various claims at the time the last claimed invention was made, should be submitted.	
The inventorship for all the claims in this application are:	
The same	
or	
Are not the same. An explanation, including the ownership of the various claims at the time the last claimed invention was made,	
is submitted.	
will be submitted.	
7. Language	
NOTE: An application including a signed oath or declaration may be filed in a language other than English. A verified English translation of the non-English language application and the processing fee of \$30.00 required by 37 CFR 1.17(k) is required to be filed with the application or within such time as may be set by the Office. 37 CFR 1.52(d).	
NOTE: A non-English oath or declaration in the form provided or approved by the PTO need not be translated. 37 CFR 1.69(b).	
∑ English	
non English	

the attached translation is a verified translation. 37 CFR 1.52(d).

(Application Transmittal [4-1]—page 3 of 7)



8. Assignment				
An assignment of the state of the st	ne invention to			
<u> </u>	Yardney Tec	hnic	al Product	s, Inc.
\mathbf{x} is attached.				
will follow.				
9. Certified Copy				•
Certified copy(ies) of applicat	tion(s)			
(country)	(appin. n	0.)		(filed)
(country)	(appin. n	0.)		(filed)
(country)	(appin. n	0.)		(filed)
from which priority is claimed			•	
is(are) attached.				
will follow.				
Note: The foreign application formin		n for pri	ority must be referre	ed to in the oath or dec
NOTE: This item is for any foreign U.S. application or Internation 120 is itself entitled to prior PAGES FOR NEW APPLITION(S) CLAIMED. 10. Fee Calculation (37 CFR A. X), Regular application	onal Application from writy from a prior foreign CATION TRANSMITTA	hich thi: applica	s application claims tion then complete	benefit under 35 U.S.C. item 18 on the ADDED
	CLAIMS AS F	ILED.		
Number filed	Number Extra		Rate	Donie For
Manusci ilieu	Number Extra	•	nate	Basic Fee
Fotal Claims 17 —20=	0	×		<u> </u>
ndependent			****	
Claims (37 CFR 1.16(b)) 4-3=	: 1	X	\$84	\$ 84
Multiple dependent claim(s), if a 37 CFR 1.16(d))	ny	<u> </u>		
Amendment cancelli	na extra claims en	closed.		
Amendment deleting				
Fee for extra claims	•			
NOTE: If the fees for extra claims a ment, prior to the expiration any notice of fee deficiency.	re not paid on filing the of the time period set f	y must	be paid or the clain	ns cancelled by amend- and Trademark Office in
	iling Fee Calculation	n	\$_	\$824



B.			sign <mark>applicatio</mark> 50.00—37 CFF			
		••		Filing Fee Calculation		\$
C.			nt application 50.00—37 CFF	l 1.16(g))		
				Filing fee calculation		\$
11.	Sma		tity Statement			
	X		ified Statemen 7 is(are) attach	t(s) that this is a filing by a ed.	small entity u	under 37 CFR 1.9 and
			•	tion (50% of A, B or C abo		\$_412
NO:	TE:	Any ex within 2	cess of the full fe ? months of the da	e paid will be refunded if a verifi te of timely payment of a full fee.	ed statement and 37 CFR 1.28(a).	d a refund request are filed
12.	Red	juest	for Internatio	nal-Type Search (37 CFR	1.104(d)) (co	mplete, if applicable)
		Ple: time	ase prepare a e when nationa	n international-type searc I examination on the merit	h report for t s takes place.	his application at the
13.	Fee	Payr	nent Being Ma	ide At This Time		
		Not	Enclosed			
				s to be paid at this time. (e) can be paid subsequent		surcharge required by
	X	End	closed			
		\mathbf{x}	basic filing fe	9	•	\$_412
			recording ass (\$8.00; 37 CF	•		\$
			than all the in on behalf of t inventor refus	or filing by other ventors or person the inventor where sed to sign or cannot \$120.00; 37 CFR ((h))		\$
			a specificatio	g an application with n in a non-English i0.00; 37 CFR 1.52(d) and		\$
				nd retention fee CFR 1.53(d) and 1.21(l))		
			37 CFR 1.21	• • •	·	\$
NO	TE:	failing CFR 1 sic filii	to complete the a	es a fee for processing and reta pplication pursuant to 37 CFR 1. eate that in order to obtain the be id or the processing and retentio 53(d).	.53(d) and this, a nefit of a prior U.	s well as the changes to 37 S. application, either the ba-

Total fees enclosed

(Application Transmittal [4-1]—page 5 of 7)



14. Meth	od of Payment of Fees
X	Check in the amount of \$
	Charge Account No in the amount of \$ A duplicate of this transmittal is attached.
	ees should be itemized in such a manner that it is clear for which purpose the fees are paid. 37 CFR 22(b).
15. Autho	orization to Charge Additional Fees
	: If no fees are to be paid on filing the following items should not be completed.
WARNING.	: Accurately count claims, especially multiple dependent claims, to avoid unexpected high charges, if extra claim charges are authorized.
	The Commissioner is hereby authorized to charge the following additional fees by this paper and during the entire pendency of this application to Account No.
	37 CFR 1.16(a), (f) or (g) (filing fees)
	37 CFR 1.16(b), (c) and (d) (presentation of extra claims)
· tio oo au	ecause additional fees for excess or multiple dependent claims not paid on filing or on later presenta- ecause additional fees for excess or multiple dependent claims not paid on filing or on later presenta- in must only be paid or these claims cancelled by amendment prior to the expiration of the time peri- diset for response by the PTO in any notice of fee deficiency (37 CFR 1.16(d)), it might be best not to atthorize the PTO to charge additional claim fees, except possibly when dealing with amendments af- in final action.
	37 CFR 1.16(e) (surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)
	37 CFR 1.17 (application processing fees)
WARNING:	: While 37 CFR 1.17(a), (b), (c) and (d) deal with extensions of time under § 1.136(a) this authorization should be made only with the knowledge that: "Submission of the appropriate extension fee under 37 C.F.R. 1.136(a) is to no avail unless a request or petition for extension is filed." (Emphasis added). Notice of November 5, 1985 (1060 O.G. 27).
	37 CFR 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 CFR 1.311(b))
of	here an authorization to charge the issue fee to a deposit account has been filed before the mailing a Notice of Allowance, the issue fee will be automatically charged to the deposit account at the time mailing the notice of allowance. 37 CFR 1.311(b).
file 37	CFR 1.28(b) requires "Notification of any change in loss of entitlement to small entity status must be ed in the application prior to paying, or at the time of paying, issue fee". From the wording of CFR 1.28(b): (a) notification of change of status must be made even if the fee is paid as "other than small entity" and (b) no notification is required if the change is to another small entity.
16. Instru	uctions As To Overpayment
	credit Account No
	refund which is a second of the second of th
Reg. No.	19,748 SIGNATURE OF ATTORNEY John R. Doherty
Γel. No. ⊉0	73)459-8701 Type or print name of attorney P.O. Box 706
	P.O. Address Stevenson, CT 06491-706

(Application Transmittal [4-1]—page 6 of 7)

X	Incor	poration by ref rence of added pages
•		Check the following item if the application in this transmittal claims the benefit of prior U.S. application(s) (including an international application entering the U.S. stage as a continuation, divisional or C-I-P application) and complete and attach the ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED
	K	Plus Added Pages For New Application Transmittal Where Benefit Of Prior U.S. Application(s) Claimed
		Number of pages added4
		Plus Added Pages For Papers Referred To In Item 4 Above
		Number of pages added
	State	ment Where No Further Pages Added
		(If no further pages form a part of this Transmittal then end this Transmittal with this page and check the following item)
	П	This transmittal ends with this page.



ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED

NOTE: "In order for an application to claim the benefit of a prior filed copending national application, the prior application must name as an inventor at least one inventor named in the later filed application and disclose the named inventor's invention claimed in at least one claim of the later filed application in the manner provided by the first paragraph of 35 U.S.C. 112." 37 CFR 1.78(a).

NOTE: "In addition the prior application must be (1) complete as set forth in § 1.51, or (2) entitled to a filing date as set forth in § 1.53(b) and include the basic filing fee set forth in § 1.16; or (3) entitled to a filing date as set forth in § 1.53(b) and have paid therein the processing and retention fee set forth in § 1.21(1) within the time period set forth in § 1.53(d)." 37 CFR 1.78(a).

17. Relate Back-35 U.S.C. 120

NOTE: "Any application claiming the benefit of a prior filed copending national or international application must contain or be amended to contain in the first sentence of the specification following the title a reference to such prior application identifying it by serial number and filing date or international application number and international filing date and indicating the relationship of the applications." 37 CFR 1.78(a). See also the Notice of April 28, 1987 (1079 O.G. 32 to 46). Amend the Specification by inserting before the first line the sentence: "This is a continuation continuation-in-part divisional of copending application(s) filed on January 15, 1999 serial number 0 9/ 231, 275 filed on International Application and which designated the U.S."

NOTE: The proper reference to a prior filed PCT application which entered the U.S. national phase is the U.S. serial number and the filing date of the PCT application which designated the U.S.

NOTE: (1) Where the application being transmitted adds subject matter to the International Application then the filing can be as a continuation-in-part or (2) it is desired to do so for other reasons, e.g. where no declaration is available, no English translation is available or no fee is to be paid on filing then the filing can be as a continuation. In these cases the International Application designating the U.S. is treated as the parent case in the U.S. and is an alternative to the completion of the International Application under 35 U.S.C. 371(c)(4) which must meet the requirements of 37 CFR 1.61(a). This alternative permits the completion of the filing requirements within any term set by the PTO under 37 CFR 1.53(d) to which the extension provisions of 37 CFR 1.136(a) apply. (Whereas, if the filing is as an international application entering the U.S. stage then the fee, declaration and/or English translation (where necessary) is due within 20 months of the priority date but can be paid within 22 months of the priority date (or is due within 30 months of the priority date but can be submitted within 32 months of the priority date) with the surcharges set forth in 37 CFR 1.492(e), (f) and 37 CFR 1.495(c); however, the provisions of 37 CFR 1.136 do not apply to this 22 or (32 month) period. 37 CFR 1.61(b).)

NOTE: The deadline for entering the national phase in the U.S. for an international application was clarified in the Notice of April 28, 1987 (1079 O.G. 32 to 46) as follows:

"The Patent and Trademark Office considers the International application to be pending until the 22nd month from the priority date if the United States has been designated and no Demand for International Preliminary Examination has been filed prior to the expiration of the 19th month from the priority date and until the 32nd month from the priority date if a Demand for International Preliminary Examination which elected the United States of America has been filed prior to the expiration of the 19th month from the priority date, provided that a copy of the international application has been communicated to the Patent and Trademark Office within the 20 or 30 month period respectively. If a copy of the international application has not been communicated to the Patent and Trademark Office within the 20 or 30 month period respectively, the international application becomes abandoned or to the United States 20 or 30 months from the priority date respectively. These periods have been placed in the rules as paragraph (h) of § 1.494 and paragraph (2) of § 1.495. A continuing application under 35 U.S.C. 365(c) and 120 may be filed anytime during the pendency of the international application."

(Added Pages for New Application Transmittal Where Benefit of a Prior U.S. Applications Claimed [4-1.1]—page 1 of 3)



18. Relate Back—35 U.S.C. 119 Priority Claim for Prior Application

	country	appl. no.	filed on	
The cer	tified copy (ies) has (hav	re)		
	been filed on	in prior application	0 /	which was
	is (are) attached			
WARNING	the International Bureau m ity application In the contra application communicated U.S. serial number unless tional stage is not entered, the prosecution of a contin- ity documents from the fol- quired to request transfer, fied copies, enter and mak Accordingly, the priority do	priority application which may leave not be relied on without any inuing application. This is so by the International Bureau is the national stage is entered. Therefore such certified copied application. An alternative ders and transfer them to the coretrieve the folders, make suit a record of such copies in the cuments in folders of internation be relied on. Notice of April 28	y need to file a certified because the certified of placed in a folder and . Such folders are disposes may not be available a would be to physically continuing application. It table record notations, the Continuing Applicational applications which	copy of the prior- opy of the priority is not assigned a osed of if the na- if needed later in remove the prior- The resources re- transfer the certi- in are substantial. have not entered

19. Maintenance of Copendency of Prior Application

NOTE: The PTO finds it useful if a copy of the petition filed in the prior application extending the term for response is filed with the papers constituting the filing of the continuation application. Notice of November 5, 1985 (1060 0.G. 27).

A. X Extension of time in prior application

(This item **must** be completed and the papers filed **in the prior application** if the period set in the prior application has run)

- A petition, fee and response extends the term in the pending **prior** application until <u>February 9, 2002</u>
 - A copy of the petition filed in prior application is attached
- B. Conditional Petition for Extension of Time in Prior Application

(complete this item if previous item not applicable)

- A conditional petition for extension of time is being filed in the pending prior application.
 - A copy of the conditional petition filed in the prior application is attached

20. Further Inventorship Statement Where Benefit of Prior Application(s) Claimed

NOTE: "If the continuation, continuation-in-part, or divisional application is filed by less than all the inventors named in the prior application a statement **must** accompany the application when filed requesting deletion of the names of the person or persons who are not inventors of the invention being claimed in the continuation, continuation-in-part, or divisional application." 37 CFR 1.62(a) [emphasis added]. (dealing with the file wrapper continuation situation).

NOTE: "In the case of a continuation-in-part application which adds and claims additional disclosure by amendment, an oath or declaration as required by § 1.63 must be filed. In those situations where a new oath or declaration is required due to additional subject matter being claimed, additional inventors may be named in the continuing application. In a continuation or divisional application which discloses and claims only subject matter disclosed in a prior application, no additional oath or declaration is required and the application must name as inventors the same or less than all the inventors in the prior application." 37 CFR 1.60(c). (dealing with the continuation situation).

(Added Pages for New Application Transmittal Where Benefit of a Prior U.S. Applications Claimed [4-1.1]—page 2 of 3)



(complete applicable item (a), (b) and/or (c) below)

(a) [X)	арр	s application discloses and claims only subject matter disclosed in the prior lication whose particulars are set out above and the inventor(s) in this applion are
		X	the same
			less than those named in the prior application and it is requested that the following inventor(s) identified for the prior application be deleted:
			(Type name(s) of inventor(s) to be deleted)
(b) [new	s application discloses and claims additional disclosure by amendment and a declaration or oath is being filed. With respect to the prior application the entor(s) in this application are
•			the same
			the following additional inventor(s) have been added
		•	(Type name(s) of inventor(s) to be added)
(c)	The	inve	entorship for all the claims in this application are
		\mathbf{x}	the same
			not the same, and an explanation, including the ownership of the various claims at the time the last claimed invention was made
			is submitted
			will be submitted ** Please do not abandon
21. A	bar	idon	ment of Prior Application (if applicable) the Prior Application
}		pen is g	ase abandon the prior application at a time while the prior application is ding or when the petition for extension of time or to revive in that application transfer and when this application is granted a filing date so as to make this oblication copending with said prior application.
NOTE.	pa vi	ccord art ap ve an	ling to the Notice of May 13, 1983 (103, TMOG 6-7) the filing of a continuation or continuation-in- plication is a proper response with respect to a petition for extension of time or a petition to re- ad should include the express abandonment of the prior application conditioned upon the grant- the petition and the granting of a filing date to the continuing application.
22. Pet Amend			r Suspension of Prosecution for the Time Necessary to File an
			The claims of a new application may be finally rejected in the first Office action in those situations
		wi tic th re §	here (1) the new application is a continuing application of, or a substitute for, an earlier applica- on, and (2) all the claims of the new application (a) are drawn to the same invention claimed in e earlier application, and (b) would have been properly finally rejected on the grounds of art of cord in the next Office action if they had been entered in the earlier application." MPEP, 706.07(b).
NOTE	C	ation	it is possible that the claims on file will give rise to a first action final for this continuation appli- and for some reason an amendment cannot be filed promptly (e.g., experimental data is being ed) it may be desirable to file a petition for suspension of prosecution for the time necessary.
			(check the next item, if applicable)
		The	ere is provided herewith a Petition To Suspend Prosecution for the Time Nec- sary to File An Amendment (New Application Filed Concurrently)
(Adde	ed F		s for New Application Transmittal Where Benefit of a Prior U.S. Applications Claimed [4-1.1]—page 3 of 3)



This application is a divisional application of Serial No. 09/231,275, filed on January 15, 1999 Which in turn claims priority to provisional application Serial No. 60/071,670, filed January 16, 1998.

The parent application Serial No. 09/231,275 is not being abandoned at this time.

4 Added page



CERTIFICATION UNDER 37 CFR 1.10

Assistant Commissioner for Patents Washington, D.C. 20231

Re: New Divisional Application

Title: POLYMERIC BINDER FOR ADHERENT COATINGS

Applicant(s): Grant M. Ehrlich et al.

Paper being filed:

New Divisional Application including Specification, and Claims, Transmittal Letter including fee calculation and Check to cover filing fee and Preliminary Amendment

"Express Mail" mailing label number: ET382510978US

Date of Deposit: February 9, 2002

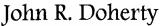
I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

John R. Doherty

(type or print name of person mailing paper or fee)

(Signature of Person mailing paper or fee)

Date: February 9, 2002





Attorney at Law P.O. Box 706 Stevenson, CT 06491-0706

Patent, Trademark, Copyright & Related Matters Tel. Phone & Fax: (203) 459-8701 Email: jrdoherty@aol.com

Assistant Commissioner for Patents Washington, D.C. 20231

February 8, 2002

Re: Proposed Divisional Application
POLYMERIC BINDER FOR ADHERENT COATINGS
Grant M. Ehrlich et al.
Based on prior application Ser. No. 09/231,275
filed January 15, 1999

Sir:

Attached are the papers for filing a new Divisional Application based on prior application Serial No. 09/231,275 filed January 15, 1999.

Please file the documents upon receipt, stamp the filing date on the attached Post Card and return the same to the undersigned.

Very truly yours

John R. Woher

JRD/er